



**PATENT**  
Attorney Docket No. NMT-013  
(9134/18)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS: Carpenter et al.

SERIAL NO.: 10/667,747 GROUP NO.: 3763

FILING DATE: September 22, 2003 EXAMINER: Not yet assigned

TITLE: Front-End Loader for Prosthetic Occluders and Methods Thereof

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

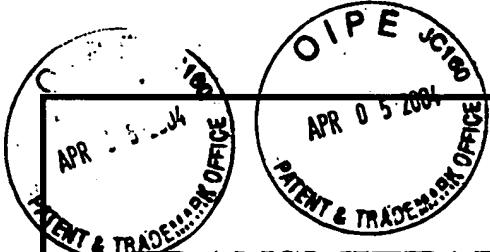
I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 1<sup>st</sup> day of April, 2004.

  
\_\_\_\_\_  
Alyson J. Lucas

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Submitted herewith are:

Transmittal Form (1 pg.);  
Second Supplemental Information Disclosure Statement (2 pgs.);  
Second Supplemental Form PTO-1449 (1 pg.);  
Copies of some of the cited references (B1 and C2); and  
Return Receipt Postcard.



# TRANSMITTAL FORM

Application Serial Number	10/667,747
Filing Date	September 22, 2003
First Named Inventor	Carpenter
Group Art Unit	3763
Examiner Name	Not yet assigned
Attorney Docket No.	NMT-013
Patent No.	Not applicable
Issue Date	Not applicable

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <ul style="list-style-type: none"> <li><input type="checkbox"/> Check Attached</li> <li><input type="checkbox"/> Copy of Fee Transmittal Form</li> </ul>	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences
<input type="checkbox"/> Amendment/Response <ul style="list-style-type: none"> <li><input type="checkbox"/> Preliminary</li> <li><input type="checkbox"/> After Final</li> <li><input type="checkbox"/> Affidavits/declaration(s)</li> <li><input type="checkbox"/> Letter to Official Draftsperson including Drawings</li> <li>[Total Sheets _____]</li> </ul>	<input type="checkbox"/> Formal Drawing(s)	<input type="checkbox"/> Appeal Brief (in triplicate)
<input type="checkbox"/> Petition for Extension of Time	<input type="checkbox"/> Request For Continued Examination (RCE) Transmittal	<input type="checkbox"/> Status Inquiry
<input checked="" type="checkbox"/> Second Supplemental Information Disclosure Statement (2 pgs.)	<input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)	<input checked="" type="checkbox"/> Return Receipt Postcard
<input checked="" type="checkbox"/> Second Supplemental Form PTO-1449 (1 pg.)	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8
<input checked="" type="checkbox"/> Copies of some of the cited references (B1 and C2)	<input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application	<input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Small Entity Statement	<input type="checkbox"/> Additional Enclosure(s) (please identify below)
<input type="checkbox"/> Sequence Listing submission <ul style="list-style-type: none"> <li><input type="checkbox"/> Paper Copy/CD</li> <li><input type="checkbox"/> Computer Readable Copy</li> <li><input type="checkbox"/> Statement verifying identity of above</li> </ul>	<input type="checkbox"/> CD(s) for large table or computer program	
	<input type="checkbox"/> Amendment After Allowance	
	<input type="checkbox"/> Request for Certificate of Correction <ul style="list-style-type: none"> <li><input type="checkbox"/> Certificate of Correction (in duplicate)</li> </ul>	

## CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator  
 Testa, Hurwitz & Thibeault, LLP  
 High Street Tower  
 125 High Street  
 Boston, MA 02110  
 Tel. No.: (617) 248-7000  
 Fax No.: (617) 248-7100

## SIGNATURE BLOCK

Respectfully submitted,

  
 Ronda P. Moore, D.V.M.  
 Attorney for the Applicants  
 Testa, Hurwitz & Thibeault, LLP  
 High Street Tower  
 125 High Street  
 Boston, MA 02110



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Attorney Docket No. NMT-013  
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Second Supplemental Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. In accordance with the U.S. Patent Office's partial waiver of the requirement under 37 C.F.R. 1.98(a)(2)(i), only copies of the foreign patent document (B1) and the non-patent publication (C2) are enclosed.

**REMARKS**

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

(1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or

(2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and

the requisite Statement is below, **OR**

the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

(3) after the mailing date of a **final action or notice of allowance** but before the payment of the **issue fee**, **AND**

the requisite Statement is below, **AND**

the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Second Supplemental Form PTO-1449, and other information contained herein, be made of record in this application.

**STATEMENT**

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that:

1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or

2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

Date: April 1, 2004  
Reg. No. 44,244

Tel. No.: (617) 248-7044  
Fax No.: (617) 248-7100

Ronda P. Moore, D.V.M.  
Ronda P. Moore, D.V. M.  
Attorney for the Applicants  
Testa, Hurwitz & Thibeault, LLP  
High Street Tower  
125 High Street  
Boston, Massachusetts 02110



<b>SECOND SUPPLEMENTAL FORM PTO - 1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b>				<b>ATTORNEY DOCKET NO.: NMT-013</b> <b>APPLICANTS:</b> Carpenter et al. <b>SERIAL NO.:</b> 10/667,747 <b>FILING DATE:</b> September 22, 2003 <b>GROUP:</b> 3763					
<b>U.S. PATENT DOCUMENTS</b>									
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME		CLASS	SUB CLASS	FILING DATE IF APPROPRIATE	
	A13	US 4,515,583	5/7/85	Sorich				10/17/83	
	A14	US 5,486,193	1/23/96	Bourne et al.				5/1/95	
	A15	US 5,746,734	5/5/98	Dormandy, Jr. et al.				9/12/95	
	A16	US 5,928,246	7/27/99	Gordon et al.				10/15/97	
	A17	US 5,997,562	12/7/99	Zadno-Azizi et al.				3/24/98	
	A18	US 6,053,925	4/25/00	Barnhart				2/27/98	
	A19	US 2002/0099325 A1	7/25/02	Sutton et al.				1/23/01	
<b>FOREIGN PATENT DOCUMENTS</b>									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B1	EP 0 397 038 A1	11/14/90	EP			5/4/90		Y
<b>OTHER ART, JOURNAL ARTICLES, ETC.</b>									
EXAM. INIT.	<b>OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)</b>								
	C2	International Searching Authority, "International Search Report," PCT Application No. PCT/US03/29472, mailed on January 26, 2004, 5 pgs.							
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>					

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